

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
IPCP:109AUS

Total Pages in this Submission

**TO THE COMMISSIONER FOR PATENTS**

Mail Stop Patent Application

P.O. Box 1450

Alexandria, VA 22313-1450

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**COMPUTER BASED METHOD AND APPARATUS FOR MINING AND DISPLAYING PATENT DATA**

and invented by:

Thomas J. COLSON et al.

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:
☐ Continuation    ☒ Divisional    ☐ Continuation-in-part (CIP) of prior application No.: 09/415,148

Which is a:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP) of prior application No.:

Which is a:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP) of prior application No.:

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 32 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☒ Reference to Sequence Listing, a Table, or a Computer Program Listing Appendix
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal      Number of Sheets      32
- b. ☐ Informal      Number of Sheets      \_\_\_\_\_
4. ☒ Oath or Declaration
- a. ☒ Newly executed (original or copy)      ☐ Unexecuted
- b. ☒ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney      ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☒ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ CD ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7. ☐ Application Data Sheet (See 37 CFR 1.76)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Computer Readable Form (CFR)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ Paper
- c. ☐ Statement(s) Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Certificate of Mailing
- ☐ First Class      ☒ Express Mail (Specify Label No.): EV410610603US

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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**Acc mpanying Applicati n Parts (C ntinued)**

17. ☒ Applicant claims small entity status. See 37 CFR 1.27.

☐ (Optional) Small Entity Statement(s) - Specify Number of Statements Submitted: \_\_\_\_\_

18. ☒ Additional Enclosures *(please identify below)*:

Microfiche Appendix

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

19. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

***An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.***

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

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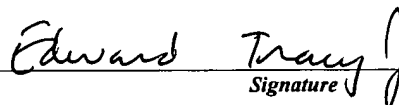
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

| For  | #Filed | #Allowed | #Extra | Rate      | Fee      |
|--|--------|----------|--------|-----------|----------|
| Total Claims   | 23     | - 20 =   | 3      | x \$9.00  | \$27.00  |
| Indep. Claims  | 12     | - 3 =    | 9      | x \$43.00 | \$387.00 |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/> |        |          |        |           | \$0.00   |
| BASIC FEE  |        |          |        |           | \$385.00 |
| OTHER FEE (specify purpose) _____  |        |          |        |           | \$0.00   |
| TOTAL FILING FEE   |        |          |        |           | \$799.00 |

- ☒ A check in the amount of \$799.00 to cover the filing fee is enclosed.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 50-0822 as described below.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: November 13, 2003

  
Signature

Edward Tracy, Jr.  
Registration No. 47,998  
Customer No. 24041  
Simpson & Simpson, PLLC  
5555 Main Street  
Williamsville, New York 14221  
Phone (716) 626-2564  
Fax (716) 626-0366

cc:

**U.S. UTILITY PATENT APPLICATION  
ATTORNEY DOCKET NO. IPCP:109aUS**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the Matter of United States Patent Application:

Applicant(s): Thomas J. COLSON et al. Examiner: N/A

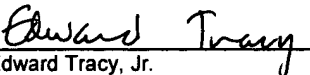
Serial No.: N/A Art Unit: N/A

Filed: N/A

For: **COMPUTER BASED METHOD AND APPARATUS FOR MINING AND  
DISPLAYING PATENT DATA**

**Certificate of Mailing**

I certify that this Submission of Computer Program Listing Appendix is being deposited on November 13, 2003 with the U.S. Postal Service as "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 and is addressed to Mail Stop Patent Application, Commissioner of Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

  
Edward Tracy, Jr.  
Express Mail Label No. # EV 410610603 US

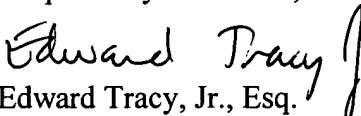
**SUBMISSION OF COMPUTER PROGRAM LISTING APPENDIX  
ON MICROFICHE**

Mail Stop Patent Application  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450


Honorable Sir:

Applicants hereby submit a computer program listing appendix on microfiche, in compliance with the temporary continuation for microfiche practice in MPEP §608.05(a).

Respectfully submitted,

  
Edward Tracy, Jr., Esq.  
Registration No. 47,998  
Attorney for Applicants  
Simpson & Simpson, PLLC  
5555 Main Street  
Williamsville, NY 14221

EWT  
Dated: November 13, 2003

|   |                    |                 |                           |
|---|--------------------|-----------------|---------------------------|
| <b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b><br>Applicant(s): COLSON et al.  |                    |                 | Docket No.<br>IPCP:109AUS |
| Serial No.<br>N/A   | Filing Date<br>N/A | Examiner<br>N/A | Group Art Unit<br>N/A     |
| Invention: COMPUTER BASED METHOD AND APPARATUS FOR MINING AND DISPLAYING PATENT DATA  |                    |                 |                           |
| <p>I hereby certify that this <u>new utility patent application and related documents</u><br/><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Director of the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>November 13, 2003</u><br/><i>(Date)</i></p> <p><u>Edward Tracy, Jr.</u><br/><i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <p><u></u><br/><i>(Signature of Person Mailing Correspondence)</i></p> <p><u>EV410610603US</u><br/><i>("Express Mail" Mailing Label Number)</i></p> |                    |                 |                           |
| <p>Note: Each paper must have its own certificate of mailing.</p>   |                    |                 |                           |